



Administration
& Management

OFFICE OF THE SECRETARY OF DEFENSE
1950 DEFENSE PENTAGON
WASHINGTON, DC 20301-1950

June 30, 1972

ADMINISTRATIVE INSTRUCTION NO. 16

SUBJECT: Executive Development Program

- References:
- (a) DoD Instruction 1430.5, "Civilian Employee Training Policies and Standards," dated 28 September 1971
 - (b) DoD Instruction 1430.8, "Manager Training and Development of Civilian Employees in the Department of Defense," dated 30 October 1970
 - (c) DoD Directive 1430.2, "Assignment of Responsibilities for Civilian Career Programs," dated 9 May 1966
 - (d) FPM Letter 412-1, dated 8 October 1971, "Guidelines for Executive Development in the Federal Service"
 - (e) DoD-Wide Training Agreement for Exchange Assignments for Development of Managers for the DoD, approved by CSC 30 September 1971

1. PURPOSE

The purpose of this instruction is to implement references (a) through (e) provide policies and procedures to be used in identification and selection of potential and incumbent executives for executive development.

2. POLICY

An Executive Manpower Resources Board chaired by the Deputy Assistant Secretary of Defense (Administration) and composed of representatives from the Organization of the Joint Chiefs of Staff, Director of Defense Research and Engineering, Offices of the

Assistant Secretaries of Defense and Offices of the Assistants to the Secretary of Defense has been established. The Board will assure adherence to the policies outlined below. Specific responsibilities of the Board and each member are contained later in this Instruction.

2.1. Assure effective long- and short-term executive development by identifying and developing individuals in grades GS-13-15 who demonstrate high executive potential.

2.2. Provide developmental experiences for executives in grades GS-16-18 and equivalent to enable each to develop fully consistent with needs of his office, his own interest, abilities and willingness to achieve his potential.

2.3. Prepare individual development plans for both groups by determining training and development needs, and providing training to meet those needs.

2.4. Establish rotational and mobility assignments as part of the overall Executive Development Program.

2.5. Assure that management objectives for executive development are being met through meaningful evaluation.

2.6. Allocate sufficient resources for establishing and maintaining an effective Executive Development Program within the Office of the Secretary of Defense.

2.7. Assure that equal opportunity is afforded women and minority group employees in all executive development and training.

3. SCOPE

This Instruction applies to all organizational entities assigned to OSD, the Organization of the Joint Chiefs of Staff, and other activities assigned to OSD for administrative support not covered by other Executive Development Programs.

4. RESPONSIBILITIES

4.1. Heads of organizational entities are responsible for:

4.1.1. Approving selections and plans of high-potential GS-13-15s and incumbent supergrades in their offices prior to submission of the plans to the Executive

Manpower Resources Board.

4.1.2. Nominating high-potential GS-13-15 employees and supergrades for courses and assignments that come to light as a result of development plans.

4.1.3. Approving reassignments, details, or leaves of absence in with mobility and rotational assignments within and outside of OSD.

4.1.4. Nominating individuals for long-term training, the Federal Executive Institute, and the Civil Service Commission Executive Seminars.

4.1.5. Replacing representatives to the Executive Manpower Resources Board, as necessary.

4.2. The Executive Manpower Resources Board (EMRB) will be responsible for:

4.2.1. Recommending policy for the Executive Development Program.

4.2.2. Recommending selections for long-term training and the Federal Executive Institute.

4.2.3. Recommending and monitoring all mobility assignments between Assistant Secretaries of Defense, the Office of the Secretary of Defense and other Government Agencies, the Office of the Secretary of Defense and private industry.

4.2.4. Reviewing training resources to provide maximum opportunity to OSD executives for Agency, interagency, and non-Government training.

4.2.5. In conjunction with the Director of Personnel, evaluating and reporting the effectiveness of the Executive Development Program as required by the Civil Service Commission.

4.3. Members of the Executive Manpower Resources Board (EMRB) will be responsible for:

4.3.1. Identifying and recommending mid-managers, GS-13 to GS-15, with executive potential.

4.3.2. Reviewing development plans on mid-managers with executive potential and incumbent executives.

4.3.3. In conjunction with supervisors, insuring that potential executives

receive training called for in executive development plans.

4.3.4. In conjunction with supervisors, screening nominations for long-term training and the Federal Executive Institute for submission to the Executive Manpower Resources Board for final approval.

4.3.5. Recommending rotational assignments within their own organization that have come to light through development plans or other sources.

4.3.6. Evaluating and reporting the effectiveness of the Executive Development Program in their own organization annually to the chairman of the Executive Manpower Resources Board and the head of each organizational entity by 15 September of each year.

4.4. Supervisors are responsible for:

4.4.1. Evaluating executive potential of their employees, GS-13 to GS-15, by employee career appraisals, education, training, and experience.

4.4.2. Counseling employees as to their training needs.

4.4.3. Annually conducting a career appraisal interview with each employee, GS-13 and above, and developing a career development plan for each, as appropriate. (Some situations such as planned retirement or departure or individual career objectives would make a career development plan inappropriate.)

4.4.4. Forwarding career appraisals and plans to the board member for their organization.

4.4.5. Supplying information to heads of organizational entities concerning future executive staffing requirements and projected key position replacements, as requested.

4.4.6. Submitting nominations for training through heads of organizational entities for all mid-level managers of high potential and incumbent executives.

4.4.7. Nominating through heads of organizational entities exceptional employees for long- and short-term training experiences as requested annually in December of each year.

4.5. Employees at the GS-13 to GS-15 level are responsible for:

4.5.1. Filing application for Executive Development Program.

4.5.2. Discussing career appraisals and training needs with supervisors at least annually.

4.5.3. Updating applications on an annual basis.

4.5.4. Taking advantage of opportunities for self-development.

4.5.5. Making themselves available for rotational assignments, details, and other mobility assignments.

4.6. The Director of Personnel, who is also designated the Executive Manpower Resources Officer, is responsible for:

4.6.1. Furnishing board members data and statistics on aging of the workforce, turnover rates, and other information used to establish executive needs.

4.6.2. Acting as Executive Director of the Executive Manpower Resources Board and reporting in this function to the Chairman.

4.6.3. Maintaining liaison with the Civil Service Commission on executive development.

4.6.4. Maintaining records for the Executive Development Program.

4.6.5. Assisting with coaching and counseling, defining performance evaluations and objectives, and preparing executive development documents.

4.6.6. Exploring and publicizing Agency, interagency, and non-Government long- and short-term training opportunities for executives and potential executives.

4.6.7. Coordinating and submitting to the Civil Service Commission evaluation reports on executive development, as required.

5. PROCEDURES

5.1. General.

5.1.1. Procedures in this Instruction will be flexible in that organizations,

depending upon their size, may accomplish the objectives of the program either by using designated members of the Executive Manpower Resources Board as the focal point or have ad hoc committees for the same purpose. Methods for predicting future executive needs and identification of potential executives will be left up to individual organizations, subject only to guidelines furnished herein.

5.1.2. Limitations will not be set as to numbers of potential executives identified, although organizations should reasonably limit these to a small percentage (probably not more than 15 to 20 percent).

5.2. Establishing executive needs.

5.2.1. Heads of organizational entities in collaboration with the Director of Personnel will by 30 July of each year canvass their organizations and project executive needs over a five-year period. This will be done by identifying:

5.2.1.1. Positions presently vacant.

5.2.1.2. Those in which vacancies are anticipated over next five years.

5.2.1.3. New executive manning requirements anticipated over next five years due to reorganization or additional workload or mission requirements.

5.2.2. The Director of Personnel, ODASD(A), OASD(Comptroller), will furnish to heads of organizational entities or their committees data on turnover studies, retirement projections, and supergrade assignments in order for them to identify executive needs.

5.3. Identifying and developing career plans for mid-managers of high potential.

5.3.1. By 30 July of this year and annually thereafter, Executive Manpower Resources Board members will submit to each supervisor of GS-13 to GS-15 employees a three-part employee career appraisal form. Attachment 1, Part I will be filled out by the employee; Part II will be completed by the supervisor; and Part III will be completed jointly by the supervisor and employee through interviewing and counseling sessions.

5.3.2. One copy of the form will be retained by the supervisor and one copy by the employee.

5.3.3. Supervisors will identify and forward to the appropriate Executive

Manpower Resources Board member copies of the career appraisals and plans of those GS-13s, 14s, and 15s that are considered having maximum potential for higher executive responsibilities. Decisions will be based upon the employees' experience, education, and performance appraisal.

5.3.4. Board members or committees will then rescreen these candidates and recommend those most suitable for mobility assignments, on-the-job training, formalized interagency or non-Government training, and long-term training assignments.

5.3.5. Heads of organizational entities will make final selections that will designate high-potential GS-13 to GS-15s (probably not more than 15 to 20 percent). They will ensure that supervisors enact these development plans as outlined over the next twelve-month period.

5.3.6. A copy of the finalized training plan will be forwarded to the Executive Manpower Management Officer (Director of Personnel) to be incorporated into the annual report to the Civil Service Commission.

5.3.7. It will be the joint concern of the employee, the supervisor, board members, and the Director of Personnel to insure that the training plans are carried through to the maximum extent possible consistent with mission requirements.

5.3.8. The Training and Career Development Officer will be available throughout these procedures to offer advice and assistance regarding long- and short-term training opportunities, rotational assignments and other developmental activities.

5.4. Developmental Plans for Incumbent Executives.

5.4.1. By 30 July of this year and annually thereafter, the Chairman of the Executive Manpower Resources Board will submit to the supervisors of all executives GS-16-18 and equivalent forms for career development plans, Attachment 2. It is expected that some plans may be minimal in content and for some individuals no plan will be required (non-career executives, persons expected to retire, PLs planning to return to private industry, etc.).

5.4.2. Supervisors will discuss career development plans with all executives, GS-16-18, under their supervision--both will sign the approved plan and forward two copies to the executive development board member.

5.4.3. Board members or committees as directed by heads of organizational entities and in conjunction with supervisors, will review these plans and arrange for rotational assignments, details, on-the-job training, and short-term training, as required.

5.4.4. A copy of the finalized plan will be forwarded to the Executive Manpower Management Officer (Director of Personnel) to be incorporated into the annual report to the Civil Service Commission.

5.5. Long-term training, fellowships, Federal Executive Institute.

5.5.1. The Executive Manpower Management Officer (Director of Personnel) will issue annually through Executive Manpower Resources Board members a bulletin describing long-term training opportunities for the coming school year. This bulletin will be issued in December of each year.

5.5.2. Heads of organizational entities will submit nominations to the Director of Personnel after careful screening by their Executive Manpower Resources Board member. The Director of Personnel will evaluate the nominations and make recommendations for selection to the Executive Manpower Resources Board.

5.5.3. The Executive Manpower Resources Board shall meet in closed session and evaluate all nominations for final selection for long-term training and the Federal Executive Institute. Final selections will be made by a majority vote of the Board.

5.5.4. The Director of Personnel will make the necessary administrative arrangements for enrolling selectees into appropriate courses of instruction.

5.6. Mobility Assignments.

5.6.1. The Executive Manpower Resources Board in collaboration with the Director of Personnel will arrange for mobility assignments that involve exchanges with other Government Agencies, private industry (the Executive Interchange Program) and interchanges between Assistant Secretaries of Defense or equivalent organizational elements of the Office of the Secretary of Defense.

5.6.2. After development plans have been established for high-potential candidates and incumbent executives, heads of organizational entities will identify those that call for rotational assignments or those whom they judge to be particularly amenable to this type of developmental experience. They will bring these

nominations to the attention of the Board.

5.6.3. Heads of organizational entities will screen their organizations for possible interchange assignments, extended vacancies, or positions encumbered by persons willing and qualified to participate in an exchange program. They will submit these proposals to the Chairman of the Executive Manpower Resources Board.

5.6.4. When exchange assignments have been approved by a majority vote of the Board, the Executive Manpower Management Officer will be called upon to make necessary administrative arrangements by having interested parties complete an exchange agreement. See Attachment 3.

5.6.5. Rotational assignments will usually last from six months to two years (reference (e)). Shorter details or temporary assignments can be made but will not be official unless for thirty days or more. Length of assignment will be mutually agreed upon before the assignment begins. Detailed plans for use of the employee after rotation will also be made as a matter of written record.

5.6.6. Rotational assignments within the Offices of the Assistant Secretaries of Defense will be approved by the Director of Personnel and the board member or committee for the Office of the Assistant Secretary of Defense. Copies of final written agreements and all evaluations will be submitted in duplicate to the Executive Manpower Management Officer for insertion into employee 201 files.

5.7. Training Resource Utilization.

5.7.1. On-the-job training and development - Since most satisfactory results are gained through training and exposure to new challenges on the job, this training ground will be our most important source of executive development for high-potential and incumbent executives. Development plans will be specific as to on-the-job developmental training or mobility assignments proposed, such as details, vacation understudy assignments, reassignments, and interchanges.

5.7.2. Each year at least four incumbent executives, GS-16-18, will be selected for participation at the Federal Executive Institute.

5.7.3. A total of six executives each year may be selected for long-term training at the Industrial College of the Armed Forces, one of the Service war colleges, the Foreign Service Institute, or an OSD fellowship at a private institution, such as Harvard University or Princeton University (reference (a)). Civilian or mobility replacements for persons attending long-term training will be provided whenever

possible.

5.7.4. Six to ten high-potential executives will be selected each year for two-week Civil Service Commission Executive Seminar sessions.

5.7.5. The Office of the Secretary of Defense will participate in the President's Personnel Interchange Program with industry.

5.7.6. Sufficient funds will be budgeted for executives to attend college-level graduate and undergraduate night courses, interagency technical and managerial training, and job-related conferences and seminars as proposed in executive development plans.

5.8. Program Evaluation.

5.8.1. At the end of each calendar year commencing 15 September 1972, each board member will re-examine developmental plans prepared in his organization against on-the-job training, formal classroom training, long-term training, and mobility assignments actually carried out. This data will be recorded, tabulated, and submitted to the Chairman of the Executive Manpower Resources Board, along with a record of changes of assignment such as promotions that show actual proof of career development of individuals in the program.

5.8.2. The Executive Manpower Management Officer will be responsible for obtaining written evaluations of training from both employees and supervisors of employees selected for training under the Executive Development Program. He will provide a documented report to the Chairman of the Executive Manpower Resources Board on the written evaluation and positive evidence of executive development or growth of persons completing long-term training assignments.

6. EFFECTIVE DATE

This instruction is effective upon publication.



D. O. Cooke
Deputy Assistant Secretary of Defense

Attachments - 3

- A1. Employee Career Appraisal, SD Form 460
- A2. Career Development Plan (GS-16-18), SD Form 461
- A3. Developmental Exchange Assignment

A1. ATTACHMENT 1Employee Career Appraisal, SD Form 460

EMPLOYEE CAREER APPRAISAL--SECTION 1 - APPLICATION			
DATE	NAME	GRADE, TITLE, ORGANIZATION, AGE	
EDUCATION (SCHOOL AND MAJOR FIELD OF STUDY)			
<u>HIGH SCHOOL</u>	<u>UNDERGRADUATE</u>	<u>GRADUATE</u>	<u>PHD</u>
EXPERIENCE OVER LAST TEN YEARS -- LIST ONLY JOBS IN WHICH DUTIES CHANGED SIGNIFICANTLY OR LAST THREE POSITIONS			
From - To	Job Title	Organization	
(1)			
(2)			
(3)			
DESCRIPTION OF DUTIES -- Three sentences or less			
(1)			
(2)			
(3)			
AWARDS RECEIVED (Last Five Years)			
Willing to take a mobility assignment six months to three years elsewhere in OSD? Yes <input type="checkbox"/> No <input type="checkbox"/> In another agency? Yes <input type="checkbox"/> No <input type="checkbox"/>			

SD 460

PERFORMANCE APPRAISAL OF POTENTIAL--SECTION 2	
S C A L E (1) Best ever seen or envisioned (2) Outstanding, above all others (3) Outstanding among peers (4) Superior (5) Excellent (6) Above average (7) Average (8) Below average	
Appraisal Elements	Performance (Describe)
1. TECHNICAL COMPETENCE (Soundness of decisions solutions and recommendations, quality of the work produced).	
2. QUANTITY AND TIMELINESS (Meeting of schedules and deadlines, accomplishing of workload in order of priority).	
3. WRITTEN COMMUNICATION (Expression of ideas in a clear, precise, and convincing manner).	
4. ORAL COMMUNICATION (Expression of ideas in a clear, concise, and convincing manner).	
5. HUMAN RELATIONS (Building and maintaining effective relationships, working harmoniously with others, considering other viewpoints and being willing to give assistance).	
6. SUPERVISION AND ADMINISTRATION (Development of employees, respect, loyalty, and cooperation gained, effectiveness of delegation of authority, distribution of work, coordination and control of diversified activities, assuring conformance of high standards, planning and organization; or if not a supervisor, assess potential for supervision. Specifically cover furthering of equal employment opportunity.)	

SECTION 3 - DEVELOPMENT PLAN (GS-13-15)	
TECHNICAL TRAINING (Subject matter field strictly related to job)	
SUPERVISORY OR MANAGEMENT TRAINING	
COMMUNICATIONS (Effective writing, Speedreading, Conference Leadership, Public Speaking)	
ON-THE-JOB TRAINING (Increase responsibilities, reassign workload)	
MOBILITY ASSIGNMENTS (Within office, ASD, outside of agency)	
LONG-TERM TRAINING (Defense colleges, semester of one-year graduate fellowships, Federal Executive Institute)	
_____ Employee Signature	_____ Supervisor Signature

A2. ATTACHMENT 2Career Development Plan (GS-16-18), SD Form 461

CAREER DEVELOPMENT PLAN (GS-16-18)		
NAME	GRADE	ORGANIZATION
<p>INSTRUCTIONS: In each of the areas listed below, supervisor and employee should jointly identify training and development needs under the appropriate headings. Plans should be as specific as possible showing dates, course titles (if known), terms of rotational assignments, etc. One copy is to be retained by the organization and two copies forwarded to the Executive Manpower Resources Board member for your organization.</p>		
<p>A. <u>Planned Development on the Job</u> -- What additional responsibilities or increased exposure could be given the employee to increase his future executive capabilities and potential; for example, increased congressional liaison, program budget review, systems analysis cost-effectiveness studies, etc.</p>		
<p>B. <u>Rotational Assignments</u> -- Executive Interchange Program with private industry, interchange with other agencies, details and temporary assignments within organizations and between ASD's.</p>		
<p>C. <u>Technical Training</u> -- Short courses and seminars considered necessary for increased performance in technical aspects of the job (ADP, systems analysis, statistics, R&D mathematics, engineering).</p>		

SD 461

D. Managerial Training -- Managerial courses found in graduate and undergraduate business administration curricula, human relations, effective supervision and leadership, etc.

E. Long-term Training and the Federal Executive Institute -- Princeton Fellowship in Public Affairs, any of the War Colleges including the Armed Forces Staff College and the Industrial College of the Armed Forces, the Senior Seminar in Foreign Policy (Foreign Service Institute), and OSD fellowships to other private institutions

F. Special Skills -- Public speaking, conference leadership, sensitivity training, etc.

A3. ATTACHMENT 3

Developmental Exchange Assignment



OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
WASHINGTON, D. C. 20301

COMPTROLLER
(Administration)

SUBJECT: Developmental Exchange Assignment

TO:

1. You have been selected to participate in the Agency's Exchange Assignments Program for the Development of Managers.
2. The purpose of this exchange is to reinforce training and development opportunities available to you in the OSD(DoD) Civilian Career Program applicable to your function with practical experience.
3. Effective _____, you will be performing the duties of Position No. _____, (title) _____, in the _____ in a trainee capacity for a period of _____. The authority for effecting the exchange assignment is Civil Service Commission Letter dated 5 September 1968. For personnel and payroll purposes, you will continue to occupy the official position from which you are exchanged. Also, during the exchange assignment you are eligible to apply for position vacancies and academic training opportunities for which you are qualified.
4. A developmental plan establishing training assignments which you will fulfill during the exchange period is enclosed. Your progress as an exchangee will be appraised at three-month intervals and plans for your further development discussed with you. The final career appraisal will be documented and filed in your Official Personnel Folder. This documentation will serve to record the exchange assignment as qualifying experience in the _____ career field consistent with the provisions of U. S. Civil Service Commission Handbook X118, Qualification Standards for White Collar Positions under the General Schedule.
5. You are to be commended for your interest in improving your capability so that you may more effectively contribute to the accomplishment of the Agency's mission.

1 Encl
Training Plan